

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Substance Abuse and Mental Health Services Administration Center for Mental Health Services

Guidance for Applicants (GFA) No. SM03-002 Part I - Programmatic Guidance

Cooperative Agreement for an Evaluation Technical Assistance Center

Short Title: Evaluation TA Center

Application Due Date:
October 22, 2002

Bernard S. Arons, M.D.
Director, Center for Mental Health Services
Substance Abuse and Mental Health
Services Administration

Charles G. Curie, M.A., A.C.S.W.
Administrator
Substance Abuse and Mental Health
Services Administration

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Authority: Section 1948 (a) of the Public Health Service Act, as amended, and subject to the availability of funds.

This program is being announced prior to the full annual appropriation for Fiscal Year (FY) 2003 for the Substance Abuse and Mental Health Services Administration's (SAMHSA) programs. Applications are invited based on an assumption that sufficient funds will be appropriated for FY 2003 to permit funding of a reasonable number of applications being hereby solicited. This program is being announced in order to allow applicants sufficient time to plan and prepare applications. Solicitation of applications in advance of a final appropriation will also enable the award of appropriated grant funds in an expeditious manner and, thus, allow prompt implementation of and evaluation of promising practices. All applicants are reminded, however, that we cannot guarantee that sufficient funds will be appropriated to permit SAMHSA to fund any applications. Questions regarding the status of the appropriation of funds should be directed to the Grants Management Officer listed under Contacts for Additional Information in this announcement.

Table of Contents

Agency	3
Action and Purpose	3
Who Can Apply?	3
Application Kit	3
Where to Send the Application	3
Application Dates	4
How to Get Help	4
Cooperative Agreement	4
Funding Criteria	7
Post-award Requirements	7
Program Overview	7
Program Expectations	8
GPRA and Evaluation	11
Detailed Information on What to Include in Your Application	12
Face Page	
Abstract	
Table of Contents	
Budget Form	
Project Narrative and Supporting Documentation	
Appendices	
Assurances	
Certifications	
Disclosure of Lobbying Activities	
Checklist	
Project Narrative/Review Criteria - Sections A through E Detailed	14
Section A: Expertise and Understanding of the Issues	
Section B: Materials Development and Dissemination Plans	
Section C: Stakeholder Engagement	
Section D: Organizational Capabilities and Project Management Plan	
Section E: Evaluation Plan	
SAMHSA Participant Protection	17
Special Considerations and Requirements	20
Appendix A: SAMHSA Priorities: Programs and Principles Matrix	22

Agency

Department of Health and Human Services (DHHS), Substance Abuse and Mental Health Services Administration

Action and Purpose

The Substance Abuse and Mental Health Services Administration (SAMHSA), Center for Mental Health Services (CMHS), is accepting applications for one Fiscal Year 2003 cooperative agreement to provide technical assistance to States and the mental health community regarding how to conduct high quality evaluations of programs and service systems, and how to interpret and use the results of evaluation and mental health services research to improve the planning, development, and operation of adult services provided under the Community Mental Health Services (CMHS) Block Grant program.

It is estimated that up to \$800,000 will be available for the award (direct plus indirect costs) each year. Actual funding levels will depend on the availability of funds and the applicant's budget justification.

The award should be requested for 3 years. Annual continuation awards will depend on the availability of funds and progress achieved.

Who Can Apply?

All public or private domestic, nonprofit entities, including faith-based organizations, can apply.

Application Kit

SAMHSA application kits include the two-part grant announcement (also called the Guidance for Applicants or "GFA") and the blank forms (PHS-5161, revised July 2000) needed to apply for a grant.

The GFA has two parts:

Part I - Provides information specific to the cooperative agreement. It is different for each GFA. **This document is Part I.**

Part II - Has general policies and procedures that apply to **most** SAMHSA grants and cooperative agreements. The policies in Part II that apply to this program are listed in this document in the section on "Special Considerations and Requirements."

You will need to use both Part I and Part II to apply for this SAMHSA cooperative agreement.

To get a complete application kit, including Parts I and II, you can:

- Call the SAMHSA/CMHS Information Center at 800-789-2647; **or**
- Download the application kit from the SAMHSA web site at www.SAMHSA.gov. Click on "Grant Opportunities." Be sure to download both parts of the GFA.

Where to Send the Application

Send the original and two copies of your application to:

SAMHSA Programs
Center for Scientific Review

National Institutes of Health
Suite 1040
6701 Rockledge Drive, MSC-7710
Bethesda, MD 20892-7710*

*Change the zip code to 20817 if you use express mail or courier service.

Please note:

- 1) Be sure to type: "SM03-002 Evaluation TA Center" in Item Number 10 on the face page of the application form.
- 2) If you require a phone number for delivery, you may use (301) 435-0715.
- 3) **All applications MUST be sent via a recognized commercial or governmental carrier. Hand-carried applications will not be accepted.**

Application Dates

Your application must be received by October 22, 2002.

Applications received after this date must have a proof-of-mailing date from the carrier before October 15, 2002.

Private metered postmarks are not acceptable as proof of timely mailing. Late applications will be returned without review.

How to Get Help

For questions on program issues, contact:

Crystal R. Blyler, Ph.D.
Social Science Analyst
Center for Mental Health Services
SAMHSA
5600 Fishers Lane, Room 11C-22

Rockville, MD 20857
(301) 443-3653
E-mail: cblyler@samhsa.gov

For questions on grants management issues, contact:

Stephen Hudak
Grants Management Officer
Division of Grants Management
Substance Abuse and Mental Health
Services Administration
Rockwall II, Room 630
5515 Security Lane
Rockville, MD 20852
(301) 443-9666
E-mail: shudak@samhsa.gov

Cooperative Agreement

This award is being made as a cooperative agreement, because it requires substantial Federal staff involvement.

The Awardee must:

- Comply with the terms of the agreement.
- Agree to collect and report to SAMHSA data required for the *Government Performance and Results Act*. (See "GPRA and Evaluation" section.)
- Speak with the Government Project Officer (GPO) by telephone on a regular basis (e.g., biweekly), in order to review progress and mutually determine day-to-day priorities for Evaluation TA Center activities.
- Devote at least one-fourth of the total project budget (direct plus indirect costs) to consultation activities.

- Work with the GPO to determine final membership of the Steering Committee.
- Arrange, convene, conduct, attend, and pay for two meetings of the Steering Committee per year. At least one of these meetings must be convened in the Washington, D.C., metro area each year. The Evaluation TA Center must pay for all necessary expenses, including travel expenses and per diem payments for Steering Committee members. In addition, the Evaluation TA Center will facilitate any additional communications needed by the Steering Committee to complete their work (e.g., teleconferences, mailings, faxed materials, web site or listserv communications, etc.).
- Respond to and incorporate the GPO's questions, comments, and suggestions regarding Evaluation TA Center activities and products.
- Include the GPO in meetings of importance regarding the direction of the Evaluation TA Center.
- Properly credit the GPO on papers, presentations, or products to which s/he substantially contributes.
- Hire an independent evaluator to assess customer satisfaction and the impact of technical assistance provided to States and communities, and prepare a submission package regarding this evaluation for approval from the Federal Office of Management and Budget (OMB), in accordance with the Paperwork Reduction Act of 1995.
- Cooperate with the GPO in responding to requests for information and data relevant to the cooperative agreement, including

the development of a project web site to which inquirers may be referred.

SAMHSA Staff will:

- Provide the Federal interpretation on the provisions of the GFA.
- Provide information on how to prepare an OMB submission package.
- Speak with the Project Director by telephone on a regular basis (e.g., biweekly), in order to review progress and mutually determine day-to-day priorities for Evaluation TA Center activities.
- Assist in identifying and selecting expert consultants to participate in Evaluation TA Center activities. Approve the membership of the Steering Committee.
- Attend all Steering Committee meetings, either in person or via telecommunication.
- Provide the Project Director and Steering Committee with information about SAMHSA's priorities and national policies, meetings, and activities of importance to the Evaluation TA Center's mission, including evaluation technical assistance needs related to the CMHS Block Grants, in order to ensure that Evaluation TA Center activities are consistent with Federal priorities.
- Provide direction to and participate in decision-making regarding all aspects of the Evaluation TA Center.
- Review and comment on drafts and final versions of technical assistance materials and publications developed by the Evaluation TA Center. The GPO may co-author select manuscripts with Evaluation

TA Center staff.

- Assist in negotiations of consultation activities.
- Participate in and/or co-present with Evaluation TA Center staff at meetings organized or attended by the Evaluation TA Center.
- Disseminate information about the Evaluation TA Center through presentations at conferences and meetings, distribution of written materials, referral to the project web site, and communications with groups seeking evaluation technical assistance.

The Steering Committee will:

- Consist of 10 to 15 members selected by the Project Director of the Evaluation TA Center and approved by the GPO. At a minimum, the Steering Committee will be comprised of 1) two representatives of State mental health systems, 2) two representatives of local community mental health systems, 3) two consumers of the public mental health system, and 4) one family member of an adult mental health consumer. At least two members of the committee must represent ethnic, racial, or cultural minorities and have expertise regarding cultural diversity. Additional members may include mental health services researchers, stakeholder organizations or associations, representatives of mental health financing or funding systems, or others with special expertise of particular relevance to the Evaluation TA Center (e.g., CQI methodology, etc.).
- Convene in person biannually and participate in additional communications

on an as-needed basis.

- Select a chairperson from their membership. The chairperson will work with the membership, the GPO, and the Project Director to determine the agenda for meetings, as well as to address any concerns of the Steering Committee as a whole. In addition, the chairperson will facilitate Steering Committee meetings. A new chairperson will be elected each year; the same person cannot chair the Steering Committee for more than 1 year of the 3-year award period.
- Represent the interests of their respective constituencies in advising the Evaluation TA Center and CMHS on all aspects of activities of the Evaluation TA Center.
- Provide overall direction to the Evaluation TA Center to ensure that activities of the Center are consistent with the needs of member constituencies and changing national priorities.
- Review the products and activities of the Evaluation TA Center and make recommendations for future products and activities.
- Review drafts of select products (e.g., those within the purview of a member's particular expertise or interest) and provide comments and suggestions for changes to be incorporated into final products.
- Review the results of the evaluation of the Evaluation TA Center and make recommendations for changes to the Center.
- Promote use of the Evaluation TA Center within member constituencies.

Funding Criteria

Decisions to fund a grant will be based on:

1. The strengths and weaknesses of the application, as shown by the Peer Review Committee and approved by the CMHS National Advisory Council.
2. Availability of funds.

Post-award Requirements

1. Annual financial and progress reports will be required, including the results of an annual independent evaluation of the Evaluation TA Center's performance.
2. Awardees must collect and report data needed by SAMHSA to comply with *Government Performance and Results Act* (GPRA) reporting requirements. (See "GPRA and Evaluation" section).
3. Trimester reports that record products developed, service outputs delivered, and activities undertaken will be required.
4. Grantees must inform the Project Officer of any publications based on the grant project.

Program Overview

This program is an update of a 3-year program begun in 1993 and recompleted in 1997 and 2000. In 1993, two evaluation technical assistance centers were funded. One focused on adult mental health systems, and the other focused on children. Since

1996, the activities related to evaluation of children's mental health systems have been incorporated into the National Technical Assistance Center for Children's Mental Health, currently located at Georgetown University. The Evaluation TA Center, therefore, focuses specifically on providing technical assistance regarding evaluation of *adult* mental health systems.

The Evaluation TA Center was originally developed in response to the need identified by State and local mental health officials to learn more about how to move existing mental health systems toward the types of systems envisioned within the CMHS Block Grant program administered by SAMHSA. The CMHS Block Grants assist States in the creation of comprehensive, community-based systems of care for adults with serious mental illnesses.

In recent years, SAMHSA has increasingly emphasized the need for mental health systems to utilize evidence-based practice models and to use process and outcome data to monitor and improve system performance. Accordingly, the CMHS Block Grant program is currently evolving toward a Performance Partnership Grant model, which would put increasing emphasis on collection and use of quantitative data to complement currently available qualitative information. To help States develop the infrastructure necessary to collect and use data to improve service delivery under the CMHS Block Grant program, SAMHSA has created the State Mental Health Data Infrastructure Grant program (GFA # SM-02-015, available from www.samhsa.gov).

The Evaluation TA Center has long been a resource from which States and other stakeholders of public mental health systems could draw to learn how to collect and use

data to maximize the performance of mental health systems. In the context of these national efforts directed toward increased accountability and continuous quality improvement, the Evaluation TA Center remains a vital resource.

The Evaluation TA Center will apply knowledge of state-of-the-art program evaluation methodology, service system improvement mechanisms, and mental health services research results to provide ongoing technical assistance to ensure that data collection activities of the States and other stakeholders are of high quality and used appropriately and effectively to maximize mental health system performance. Evaluation technical assistance needs of the States and other stakeholders will be addressed through 1) provision of consultation and training services; 2) development, production, and dissemination of evaluation-related materials and information; and 3) promotion of and participation in discussions among stakeholders about important topics related to evaluation.

Program Expectations

Target Population

The target population for Evaluation TA Center activities is comprised of State mental health systems serving adults with serious mental illnesses, including adults with co-occurring substance use disorders, and relevant stakeholders of the public mental health system.

Overall Goals

The Evaluation TA Center is expected to be a leader in the field regarding evaluation technology and the use of evaluation results to improve mental health and related

systems. At the same time, the Evaluation TA Center must be sensitive and responsive to issues raised by the GPO, the Steering Committee, and the mental health community.

An important part of the mission of the Evaluation TA Center will be to help States conduct evaluations related to the goals of the CMHS Block Grants, as they evolve into Performance Partnership Grants. Important potential areas for technical assistance in this regard include how to develop necessary State evaluation infrastructures to provide data consistent with the Uniform Reporting data definitions and 16-State Indicator Pilot project operational definitions (see www.mentalhealth.org/funding/); how to collect and report data using the Tables requested for the CMHS Block Grant application (Section V; see www.mentalhealth.org/funding/); how to assist with updating the Mental Health Statistics Improvement Program (MHSIP) standards and Consumer-Oriented Mental Health Report Card (see www.mhsip.org); and how to create data infrastructures related to the Health Insurance and Portability Act of 1996 (HIPAA).

The Evaluation TA Center must pay particular attention in all of its activities to ensuring that evaluations are consumer- and culturally-sensitive and that consumers and diverse cultural groups are involved in all aspects of using evaluation to improve the mental health system. Evaluation TA Center services should be available at low- or no-cost to groups lacking financial resources and/or extensive evaluation expertise. The GPO must approve criteria for determining costs of services.

Establishing Priorities

Although Evaluation TA Center staff will take the lead in suggesting activities to best meet the evaluation needs of public mental health systems, project priorities during the award period will be negotiated between the Project Director and the GPO on an ongoing basis. The SAMHSA Administrator has laid out a Priorities: Programs and Principles Matrix (Appendix A), and the Evaluation TA Center will be expected to be responsive to these priorities, which may change during the award period. Ongoing Evaluation TA Center priorities will be determined through a balanced consideration of the following factors: 1) national significance, 2) consistency with the SAMHSA Priorities Matrix, 3) consistency with priorities established by the Steering Committee, 4) time and expense required and available, 5) consistency with the mission of the Evaluation TA Center, 6) consistency with the expertise of the Evaluation staff and available consultants, 7) consistency with activities proposed in the application and rated favorably by the Peer Review Committee, and 8) the order in which requests are received.

Technical assistance requests by types of entities will be prioritized in the following order: 1) States, 2) public mental health agencies and providers, 3) mental health consumer organizations, 4) nonprofit organizations, including faith- and community-based organizations, working on issues of national importance to States and mental health consumers, 5) nonprofit private mental health providers, 6) Federal agencies working on issues of national importance to States and mental health consumers, 7) all others (e.g., advocates, researchers, for-profit organizations, unaffiliated individuals, etc.).

A few examples of the types of activities

engaged in by the Evaluation TA Center during previous award periods include:

- Development of “Toolkits” on how to manualize effective interventions and conduct program fidelity assessments.
- Production of a monograph on the major methods in the field of refugee mental health.
- Consultation regarding:
 - Development of MHSIP recovery measures.
 - Correction of errors in randomization procedures for a multi-site trial.
 - Assessment of cultural competence.
- Presentation to the National Association of State Mental Health Program Directors Research Institute on knowledge synthesis as a missing link between knowledge development and application.
- Participation in the Carter Center Summit on Performance Indicators

Program Structure

The Evaluation TA Center will engage in three types of activities:

1. Provision of consultation and training services

At a minimum, one-fourth of the total project budget (direct plus indirect costs) must be spent on provision of consultation and training services to the stakeholders identified under “Establishing Priorities.” Topics for which consultation or training are provided may be wide-ranging but must be related to the use of evaluation to improve mental health and related systems, including the use of measures required under the CMHS Block Grant or the evolving

Performance Partnership Grant programs for system improvement.

Consultation may include providing advice, materials, and assistance regarding evaluation and database design, measurement instrument or item selection and development, data analysis, synthesis, interpretation, reporting, and application. Training services may be provided for any evaluation-related topic for which Evaluation TA Center staff have the appropriate expertise and credentials. Training may be provided in person or through telecommunications technology (e.g., web-based technologies, CD-ROM curricula, etc.).

2. Development, production, and dissemination of evaluation-related materials and information

Development and production of materials and information must include such products as meta-analyses and research syntheses, annotated bibliographies of research instruments, in-depth summaries and how-to methodology manuals, evaluation training curricula, and theoretical and policy papers on evaluation topics. Additional products, such as computer exercises, newsletters, fact sheets, etc., may also be developed.

Dissemination of materials and information must use methods that reach the largest number of stakeholders in accessible formats for the lowest cost. Such formats may include electronic listserv distributions, an Evaluation TA Center web site and other web-technology, conference presentations and traveling exhibits, professional publications, mailing of product lists, video-and/or teleconferences, and other means.

3. Promotion of and participation in discussions among stakeholders about

topics of importance related to evaluation

In order to ensure the relevance of Evaluation TA Center activities and to promote the use of evaluation for improving public mental health service systems, the Evaluation TA Center will be required to engage in ongoing discussions with relevant stakeholders regarding evaluation issues. The Evaluation TA Center will accomplish this through convening and participating in conferences and meetings; hosting listserv, teleconference, and web-based discussions; utilizing expert consultants for project activities; and taking an active role in other means of professional networking.

Expected Outcomes

Expected outcomes include:

- Development of high-quality evaluation-related products.
- Use of available services by a substantial number of evaluators of mental health service systems.
- Satisfaction of individuals receiving assistance and stakeholder organizations.
- State and community use of the information gained from technical assistance services to improve the provision of mental health services and/or the quality of life of mental health consumers.

GPRA and Evaluation

The *Government Performance and Results Act of 1993* (GPRA; Public Law-103-62) requires all Federal departments and agencies to develop strategic plans that specify what they will accomplish over a 3- to 5-year period, to annually set

performance targets related to their strategic plan, and to annually report the degree to which the targets set in the previous year were met. In addition, agencies are expected to regularly conduct evaluations of their programs and to use the results of those evaluations to “explain” their successes and failures, based on the performance monitoring data.

GPRA holds SAMHSA accountable for demonstrating the effectiveness of all its programs through performance data. In order to support current and future funding, SAMHSA needs your full cooperation in collecting and reporting performance data. SAMHSA’s ability to support this award in future years depends on the data that you provide. Provision of timely and complete GPRA data will carefully be considered in assessing awardee performance and may have implications for future awards.

CMHS will assess the performance of the Evaluation TA Center on the basis of:

1. The number, timeliness, and quality of products produced.
2. The amount of service outputs delivered (e.g., number of consultations provided, products ordered, conferences attended, web site hits, etc.).
3. Customer satisfaction.
4. Impact of technical assistance on States and communities.

The Evaluation TA Center must submit reports to the GPO on a trimester basis (i.e., three times per year). These reports must include lists and brief descriptions of all products developed, service outputs delivered, and activities conducted.

The GPO will judge the quality of products developed on the basis of:

1. Clarity and understanding for the intended audience.
2. Incorporation of the most up-to-date information on the topic, including any relevant:
 - a. References from the professional literature.
 - b. Information from unpublished studies.
 - c. Information from national and State meetings.
 - d. Policy information.
 - e. Consumer and family perspectives.
 - f. Perspectives from diverse cultural, racial, and ethnic groups.

The Evaluation TA Center must hire an independent evaluator who will assess 1) customer satisfaction, including satisfaction of individuals directly receiving assistance, as well as stakeholders represented by the Steering Committee and other relevant organizations; and 2) impact of technical assistance on States and communities (i.e., documentation of how customers put the information received to use in their States and communities). A report outlining the methodology and results from the independent evaluation must be submitted to the GPO at least annually.

In accordance with the Paperwork Reduction Act of 1995, plans for the independent evaluation, including the evaluation design, instrumentation, and data analysis, must receive approval from the Federal Office of Management and Budget (OMB) prior to commencing data collection. The GPO will provide information about how to prepare a submission for OMB approval, and the awardee must prepare the

submission materials. It is likely that the materials will have to be revised several times before they can be submitted to OMB, so the entire approval process may take several months. The awardee, therefore, must begin to prepare the OMB submission package as soon as possible following receipt of the Notice of Grant Award.

Detailed Information on What to Include in Your Application

In order for your application to be **complete and eligible**, it must include the following in the order listed. Check off areas as you complete them for your application.

☐ **1. FACE PAGE**

Use Standard Form 424, which is part of the PHS-5161-1 (revised July 2000). See Appendix A in Part II of the GFA for instructions. In signing the face page of the application, you are agreeing that the information is accurate and complete.

☐ **2. ABSTRACT**

Your total abstract should not be longer than 35 lines. In the first 5 lines or less of your abstract, write a summary of your project that can be used in publications, reports to Congress, or press releases, if your project is funded.

☐ **3. TABLE OF CONTENTS**

Include page numbers for each major section of your application and for each appendix.

☐ **4. BUDGET FORM**

Use Standard Form 424A, which is part of the PHS-5161-1 (revised July 2000). See Appendix B in Part II of the GFA for instructions.

☐ **5. PROJECT NARRATIVE AND SUPPORTING DOCUMENTATION**

The **Project Narrative** describes your project. It consists of Sections A through E. These sections may not be longer than 20 pages. More detailed information about Sections A through E follows #10 of this checklist.

- ☐ **Section A** - Expertise and Understanding of the Issues
- ☐ **Section B** - Materials Development and Dissemination Plans
- ☐ **Section C** - Stakeholder Engagement
- ☐ **Section D** - Organizational Capabilities and Project Management Plan
- ☐ **Section E** - Evaluation Plan

Supporting documentation for your application should be provided in sections F through I. There are no page limits for these sections, except for Section H, the Biographical Sketches/Job Descriptions.

- ☐ **Section F** - Literature Citations. This section must contain complete citations, including titles, dates, and all authors, for any literature you cite in your application.
- ☐ **Section G** - Budget Justification, Existing Resources, Other Support

You must provide a narrative

justification of the items included in your proposed budget, as well as a description of existing resources and other support you expect to receive for the proposed project.

☐ **Section H - Biographical Sketches and Job Descriptions**

-- Include a biographical sketch for the project director and for other key positions. Each sketch should be no longer than **two pages**. If the person has not been hired, include a letter of commitment from him/her with his/her sketch.

-- Include job descriptions for key personnel. They should be no longer than **one page**.

-- *Sample sketches and job descriptions are listed in Item 6 in the Program Narrative section of the PHS-5161-1.*

☐ **Section I - Confidentiality and SAMHSA Participant Protection (SPP)**

The seven areas you need to address in this section are outlined after the Project Narrative description in this document.

☐ **6. APPENDICES 1 THROUGH 4**

- Use only the appendices listed below.
- **Do not** use appendices to extend or replace any of the sections of the Program Narrative unless specifically required in this GFA. (Reviewers will not consider them if you do.)
- **Do not** use more than the minimum number of **pages** (including all letters and

instruments) necessary for the appendices.

Appendix 1: Letters of Commitment from Proposed Steering Committee Members

Appendix 2: Data Collection Instruments/Interview Protocols

Appendix 3: Sample Consent Forms

Appendix 4: Letters of Coordination/Support

☐ **7. ASSURANCES**

Non-construction Programs. Use Standard form 424B found in PHS-5161-1 (revised July 2000).

☐ **8. CERTIFICATIONS**

Use the “Certifications” forms, which can be found in PHS-5161-1 (revised July 2000).

☐ **9. DISCLOSURE OF LOBBYING ACTIVITIES**

Use Standard Forms LLL and LLL-A (if needed), which can be found in the PHS-5161-1. Part II of the GFA also contains information on lobbying prohibitions.

☐ **10. CHECKLIST**

See Appendix C in Part II of the GFA for instructions.

Project Narrative/Review Criteria – Sections A Through E Detailed

Sections A through E are the Project Narrative/Review Criteria of your application. They describe what you intend to do with your project. Below you will find detailed information on how to respond to Sections A through E. Sections A through E may not be longer than 20 pages.

- **Your application will be reviewed against the requirements described below for Sections A through E.**
- A peer review committee will assign a point value to your application, based on how well you address **each** of these sections.
- The number of points after each main heading shows the **maximum number of points** a review committee may assign to that category.
- Bullet statements do not have points assigned to them; they are provided to invite attention to important areas within the criterion.
- Reviewers will also be looking for evidence of cultural competence **in each section** of the Project Narrative. Points will be deducted from applications that do not adequately address the cultural competency aspects of the review criteria. SAMHSA's guidelines for cultural competence are included in Part II of the GFA.

Section A: Expertise and Understanding of the Issues (30 points)

- ▶ Briefly describe the important aspects of the structure and functioning of the public mental health system in the United States, including the role of the CMHS Block

Grants. Explain the role that evaluation has historically had, currently has, and should have in this system, including the role of the Mental Health Statistics Improvement Program and the Health Insurance and Portability Act of 1996.

- ▶ Describe the role the Evaluation TA Center will have in influencing the use of evaluation in the mental health system.
- ▶ Describe your organization's history of providing leadership in the field of mental health services evaluation.
- ▶ Briefly describe your organization's expertise regarding evaluation methodology, quality improvement, performance measurement, adult public mental health system planning, knowledge synthesis, serious mental illness and co-occurring substance use disorders, psychiatric disability and rehabilitation, mental health financing, community support programs, mental health services research, service system improvement mechanisms, national mental health policies, and evidence-based practices.
- ▶ Describe your organization's experience in producing and disseminating evaluation-related materials to multiple stakeholder groups.
- ▶ Describe your organization's history of working with stakeholders of the mental health system, including State and local government agencies, mental health consumer organizations, faith- and community-based organizations (including diverse racial, ethnic, and cultural groups), mental health providers, Federal agencies, advocacy organizations, researchers, and professional associations. Briefly describe the role each of these

groups plays in the evaluation and improvement of mental health and related systems.

- ▶ Describe your organization's experience in organizing, planning, and conducting conferences and meetings.
- ▶ Describe your organization's experience in using Internet systems, telecommunications technology, and other forms of communication for professional networking purposes.

Section B: Materials Development and Dissemination Plans (20 points)

- ▶ Briefly describe existing evaluation-related materials that the Evaluation TA Center will disseminate.
- ▶ List and briefly describe materials that you will develop for the Evaluation TA Center, and identify the target audience for each product.
- ▶ Describe your plans for developing any training curricula for the Evaluation TA Center.
- ▶ Describe how existing materials and materials to be developed address the SAMHSA priorities shown in Appendix A.
- ▶ Describe how existing materials and materials to be developed address the needs of State mental health and related systems, particularly as they pertain to meeting the data collection and reporting requirements of the CMHS Block Grant program and the Health Insurance and Portability Act of 1996.
- ▶ Describe your plan for disseminating

materials and information to key stakeholders.

- ▶ Describe your plans for developing and using a web site and other web-technology to disseminate materials and information.
- ▶ Describe your approach to accessibility regarding materials and information for diverse racial, ethnic, and cultural groups, including people with limited English proficiency; groups lacking in evaluation expertise, financial, and/or internet resources, including mental health consumers and family members; and people with physical, sensory, and/or mental disabilities.

Section C: Stakeholder Engagement (20 points)

- ▶ Identify your proposed Steering Committee members. In Appendix 1, include letters of commitment from selected members indicating their willingness to serve and the time period for which they are willing to serve. Identify which of the proposed Steering Committee members are State and local mental health system representatives, consumers, family members of adult consumers of the public mental health system, and members of minority cultural, ethnic, or racial groups with expertise regarding cultural diversity. Identify the areas of expertise for each proposed member.
- ▶ Identify issues that you feel will be important topics of discussion for the field of mental health services evaluation over the next 3 years. Explain your plans for addressing each issue. Describe which issue is most important for each

stakeholder group and how you will reach and involve the important stakeholders in discussion of each of the issues.

- ▶ List and describe conferences and meetings that you plan to organize or attend, as well as those at which you plan to present materials or information. Describe the purpose and importance of the involvement of Evaluation TA Center staff at each of these conferences and meetings.
- ▶ Describe how you will use the Internet, telecommunications, and other forms of communication to facilitate discussion of evaluation issues within the mental health services field.
- ▶ Describe the process you will use to solicit input from the Steering Committee and relevant stakeholders regarding the development and dissemination of Evaluation TA Center materials, services, and activities.

Section D: Organizational Capabilities and Project Management Plan (20 points)

- ▶ Describe the organizational structure you will use to manage the Evaluation TA Center consultation program. Include a description of how resources will be allocated and prioritized and a list of topics for which consultation and training will be available.
- ▶ Describe the resources available and capabilities of your organization for editing, creating visually appealing graphics, and reproducing documents and materials.
- ▶ Provide a chart, organized by year, that

lists each product to be developed in years 1 through 3, the primary staff person responsible for the product, and a time line for starting and completing the product.

- ▶ Describe the system you will use to track orders for materials.
- ▶ Describe the marketing plan you will use to make relevant stakeholders aware of the availability of materials and consultation and training services.
- ▶ Describe the resources available and the capabilities of your organization for planning conferences and meetings.
- ▶ Describe the resources available and the capabilities of your organization for developing a web site and using other Internet and telecommunications technology.
- ▶ Describe your plans for organizing the Evaluation TA Center, including staffing plans that reflect expertise in a variety of disciplines, and consultants who supplement the experience of staff. List which staff will be involved and the role each staff member will play in each activity of the Evaluation TA Center.
- ▶ Identify staff members who are mental health consumers (you may just report the number of staff members who are consumers if confidentiality is a concern), as well as those who are members of racial, ethnic, or cultural minority groups. Identify staff members who are fluent in languages other than English and indicate the languages they can read, write, speak, and understand in conversation.
- ▶ Describe the process you will use to

ensure quality and timeliness of Evaluation TA Center products and activities.

Section E: Evaluation Plan (10 points)

- ▶ Identify the independent evaluator who will assess customer satisfaction and the impact of technical assistance on States and communities. Briefly describe his/her experience in conducting similar evaluations. In Section H, include a biographical sketch and a letter of commitment from the evaluator describing the role s/he will play in evaluating the Evaluation TA Center.
- ▶ Describe in detail how the independent evaluator will assess customer satisfaction, including satisfaction of individuals directly receiving assistance, as well as stakeholders represented by the Steering Committee and other relevant organizations. Attach any measurement instruments to be used in Appendix 2.
- ▶ Describe in detail how you will assess the impact of technical assistance provided by the Evaluation TA Center on States and communities, i.e., how you will document how customers put the information received to use in their States and communities. Attach any measurement instruments to be used in Appendix 2.
- ▶ Identify the person who will be responsible for preparing the OMB submission package regarding the independent evaluation. Describe the person's experience and ability to write clear and succinct descriptions of evaluation design and analysis plans. Include a biographical sketch for the individual in Section H.

- ▶ Describe in detail how you will track and report the amount of service outputs delivered, including how you will determine the degree to which different stakeholder groups are using different types of Evaluation TA Center services.

NOTE: Although the **budget** for the proposed project is not a review criterion, the Review Group will be asked to comment on the budget appropriateness after the merits of the application have been considered.

SAMHSA Participant Protection

We do not expect that the Evaluation TA Center will engage in activities requiring Protection of Human Subjects that are subject to review by an Institutional Review Board (IRB), such as direct data collection from vulnerable populations. In some instances, however, the Evaluation TA Center may wish to engage in data collection activities that are exempt from IRB review, as described by the DHHS Office for Human Research Protections (<http://ohrp.osophs.dhhs.gov>). General procedures that would cover participant protection in such cases must be included in the SAMHSA Participant Protection section of the application. General procedures that would protect the confidentiality of data to which Evaluation TA Center staff may have access through their consultation activities must also be outlined in this section of the application. Protections for any specifically planned activities involving human participants must be fully detailed. Protections for participants in the independent evaluation must also be fully described.

After the award of the cooperative agreement, requests for consultation or opportunities of national significance might arise that would require data collection from human participants. In such cases, the Project Director must discuss the proposed activity with the GPO prior to recruiting participants or collecting data. SAMHSA staff may determine that Protection of Human Subjects procedures must be followed and that IRB approval must be sought; OMB approval may also be required. Alternatively, the GPO may determine that the Evaluation TA Center must refrain from the activity. More information on Protection of Human Subjects may be found in Part II of the Guidance for Applicants and through the Office for Human Research Protections web site at <http://ohrp.osophs.dhhs.gov>.

You must address seven areas regarding SAMHSA participant protection in your supporting documentation. If one or all of the seven areas are not relevant to your project, you must document the reasons. No points will be assigned to this section.

This information will:

- 1) Reveal if the protection of participants is adequate, or whether more protection is needed.
- 2) Be considered when making funding decisions.

Some projects may expose people to risks in many different ways. In Section I of your application, you will need to:

- Report any possible risks for people in your project.
- State how you plan to protect them from

those risks.

- Discuss how each type of risk will be dealt with, or why it does not apply to the project.

The following seven issues must be discussed:

① Protection of Clients and Staff from Potential Risks

- Identify and describe any foreseeable physical, medical, psychological, social, legal, or other risks or adverse affects.
- Discuss risks which are due either to participation in the project itself, or to the evaluation activities.
- Describe the procedures that will be followed to minimize the effects of or protect participants against potential risks, including risks to confidentiality.
- Give plans to provide help if there are adverse effects on participants.
- Describe alternative treatments and procedures that may be beneficial to the subjects, where appropriate. If you decide not to use these other beneficial treatments, provide reasons.

② Fair Selection of Participants

- Describe the target population(s) for the proposed project. Include age, gender, and racial/ethnic background. Address other important factors, such as homeless youth, foster children, children of substance abusers, pregnant women, or other special population groups.
- Explain the reasons for using special types of participants, such as pregnant women,

children, people with mental disabilities, people in institutions, prisoners, or others likely to be vulnerable to HIV/AIDS.

- Explain the reasons for including or excluding participants.
- Explain how you will recruit and select participants. Identify who will select participants.

③ Absence of Coercion

- Explain if participation in the project is voluntary or required. Identify possible reasons why it is required (e.g., court orders requiring people to participate in a program).
- State how participants will be awarded money or gifts, if you plan to pay them.
- State how volunteer participants will be told that they may receive services and incentives, even if they do not complete the study.

④ Data Collection

- Identify from whom you will collect data (e.g., participants themselves, family members, teachers, or others). Explain how you will collect data and list the site. For example, will you use school records, interviews, psychological assessments, observation, questionnaires, or other sources?
- Identify what, if any, type of specimen (e.g., urine, blood) will be used. State if the material will be used just for evaluation and research, or for other uses. Also, if needed, describe how the material will be monitored to ensure the safety of participants.

- Provide in Appendix 2, titled “Data Collection Instruments/Interview Protocols,” copies of all available data collection instruments and interview protocols that you plan to use.

⑤ Privacy and Confidentiality:

- Explain how you will ensure privacy and confidentiality. Include who will collect data and how it will be collected.
- Describe:
 - How you will use data collection instruments.
 - Where data will be stored.
 - Who will or will not have access to information.
 - How the identity of participants will be kept private (e.g., using a coding system on data records, limiting access to records, or storing identifiers separately from data).

NOTE: If applicable, grantees must agree to maintain the confidentiality of alcohol and drug abuse client records, according to the provisions of Title 42 of the Code of Federal Regulations, Part II.

⑥ Adequate Consent Procedures:

- List what information will be given to people who participate in the project. Include the type and purpose of their participation. Include how the data will be used and how you will keep the data private.
- State:
 - Whether their participation is voluntary.
 - Their right to leave the project at any time without problems.
 - Risks from the project.

- Plans to protect clients from these risks.
- Explain how you will get consent for youth, the elderly, people with limited reading skills, and people who do not use English as their first language.

NOTE: If the project poses potential physical, medical, psychological, legal, social or other risks, you should get written, informed consent.

- Indicate whether you will get informed consent from participants, or from their parents or legal guardians. Describe how the consent will be documented. For example: Will you read the consent forms? Will you ask prospective participants questions to be sure they understand the forms? Will you give them copies of what they sign?
- Include sample consent forms in your Appendix 3, titled “Sample Consent Forms.” If needed, provide English translations.

NOTE: Never imply that the participant waives or appears to waive any legal rights, may not end involvement with the project, or releases your project or its agents from liability for negligence.

- Describe whether separate consents will be obtained for different stages or parts of the project. For example: Will they be needed for both the treatment intervention and the collection of data? Will individuals who do not consent to having individually identifiable data collected for evaluation purposes be allowed to participate in the project?

7 Risk/Benefit Discussion:

Discuss why the risks are reasonable when compared with expected benefits and importance of the knowledge from the project.

Special Considerations and Requirements

SAMHSA’s policies, special considerations, and requirements can be found in **Part II** of the GFA. The policies, special considerations, and requirements related to this program are:

- Population Inclusion Requirement.
- Government Performance Monitoring.
- Promoting Nonuse of Tobacco.
- Supplantation of Existing Funds.
- Letter of Intent.
- Coordination with Other Federal/Non-Federal Programs.
- Confidentiality/SAMHSA Participant and Human Subject Protection.

APPENDIX A
SAMHSA Priorities: Programs and Principles Matrix

	Cross-Cutting Principles								
	Data and evidence-based outcomes	Collaboration with public and private partners	Recovery/ Reducing stigma & barriers to services	Cultural competency/Eliminating disparities	Community and faith-based approaches	Trauma and Violence (e.g. physical and sexual abuse)	Financing strategies and cost-effectiveness	Rural and other specific settings	Workforce development
Programs/Issues									
Co-occurring disorders									
Substance abuse treatment capacity									
Seclusion and restraint									
Prevention and early intervention									
Children and families									
New Freedom Initiative (including President's Mental Health Commission)									
Terrorism/bio-terrorism									
Homelessness									
Aging									
HIV/AIDS & Hepatitis C									
Criminal justice									